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Barton is committed to providing our clients with the highest quality legal services delivered in an effective and efficient manner. We believe that a better product, value and client experience is achieved by providing our clients with highly skilled senior attorneys who work directly on their matters and who take the time to understand clients' organizations, objectives and long-term goals. We know that clients prioritize managing their resources and creating efficiencies, and they want lawyers who are able to do the same. We invite you to experience the difference and Discover Better Law with Barton (bartonesq.com).

ATTORNEY ADVERTISING pursuant to New York RPC 7.1; California RPC 7.1 and 7.2; and Tennessee RPC 7.2, this is an advertisement and is not intended to provide legal advice. The choice of a lawyer is an important decision and should not be based solely upon advertisements.

The Firm

Barton LLP, a law firm with offices in New York, California, and Tennessee, is comprised of an elite team of former partners of "Big Law" who have joined together to create a progressive law firm. To us, legal services are business services, and our attorneys and staff are business people serving business clients to advance their business goals.

Our mission is to provide our sophisticated corporate, financial services, investment fund and entrepreneurial clients with the highest quality legal services delivered in an effective and efficient manner. We accomplish this because we are an organization that does not follow the traditional multi-layered and leveraged law firm model. We believe that a better product, value and client experience is achieved by providing our clients with highly skilled senior attorneys who work directly on their matters with appropriate support from a strong, but lean team of associate attorneys and staff.

We are committed to developing long-term relationships by partnering with our clients so that we thoroughly understand their organizations, objectives and long-term goals. We offer in-house training programs to our clients and take a proactive approach to reviewing clients' business practices, contracts and relationships to avoid or reduce the incidents of litigation and risk whenever possible.

Our firm structure and experience allows us to offer a wide array of alternative fee arrangements. We understand that hourly billing is frequently not in our client's best interest, nor does it necessarily represent the value of our services. Our clients provide their goods and services in a competitive marketplace, and yet they rarely, if ever, use an hourly based pricing model. We know that clients have to manage their resources and create efficiencies to stay within budget – and they want lawyers who are able to do the same.

Recognized as one of "Ten Firms Giving BigLaw a Run For its Money"



Selected as "Ones to Watch: Best Boutique Law Firms"



One half of Barton attorneys have been selected to Super Lawyers



"...there is a current trend in BigLaw for partners in certain practice areas and with particular clients to opt to make a lateral move to a boutique or a regional firm. Barton LLP has been able to attract a number of BigLaw partners who are looking for smaller platforms and billing rate flexibility, yet need the high-quality brand and work..."



Select Practice Areas

Commercial Litigation

Barton has a skilled and experienced team of attorneys dedicated to our commercial litigation practice. Our litigators have achieved successful results in complex business disputes before federal courts, state courts, and administrative agencies across the country.

We have secured favorable outcomes in numerous high-stakes and class action disputes, including those concerning white collar criminal charges, intellectual property theft, failed financial transactions, breach of contract, employment and securities.

While we strive to help our clients resolve their business disputes pragmatically, our lawyers understand that litigation is an inevitable part of doing business in a competitive financial environment. When litigation is unavoidable, Barton's business-minded team works side-by-side with our clients to aggressively pursue and protect their rights and interests. Early case assessments and client strategy sessions play a crucial role in framing a case for successful disposition. Protecting and promoting our clients' business, financial, and reputational well-being is always Barton's number one priority.

Barton is recognized and retained because of our proven litigation skills and practical, client-oriented approach. Our litigators are both zealous advocates and counselors. The majority of our litigators come from Big Law backgrounds, having litigated for some of the top firms in the country. Barton therefore provides the talent you typically see at large firms, but with a boutique level of service and value.

Securities Litigation, Regulatory Investigations, and Enforcement

Barton's Securities Litigation, Regulatory Investigations, and Enforcement team consists of an elite team of former BigLaw litigators who represent clients in matters that arise from federal securities law allegations under the Securities Act of 1933 and the Securities Exchange Act of 1934, as well as those under state corporate and securities statutes.

Our clients include corporations, boards of directors, board committees, senior executives, and financial advisors facing shareholder suits or governmental regulatory proceedings. We've routinely represented our clients in complex securities litigations related to investigations and enforcement actions by agencies such as the SEC, DOJ, FINRA, and the New York Department of Financial Services.

Our attorneys have experience handling litigation spanning multiple jurisdictions and constituting breach of fiduciary duty and/or misleading statement allegations brought under Section 10b-5; proxy-related disputes; shareholder derivative suits; various class actions; fraud; insider trading; bribery; tax violations; and Foreign Corrupt Practices Act claims. We act for companies and individuals across a variety of industries, such as technology, investment management, investor relations, and financial services. Our litigation team often works closely with the firm's experienced Mergers & Acquisitions team when litigation arises involving failed transactions, breaches of representations and warranties, alleged improper acts by company executives, or SPAC-related suits.

Practice Leaders



Roger E. Barton
Managing Partner

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Roger E. Barton is the founder and Managing Partner of Barton LLP, a law firm with offices in New York, Los Angeles, and Nashville. Its attorneys practice across most areas of business law on behalf of US and international clients. Roger is widely published and speaks nationally and internationally on law firm innovation, the practice of law as a business, and forming partnering relationships with clients. He is also a Recurring Analytical Columnist for *Reuters Legal News* and *Westlaw Today* in the areas of Securities Litigation and Regulation and the Business of Law. Barton LLP has been featured by *Law360* in "Giving BigLaw a Run for Its Money" as one of "10 boutiques that have established brands on par with the biggest of firms" who are "capable of competing with – and beating – the best big firms at the highest level"; by *Acquisition International* as among "Ones to Watch: The Best Boutique Law Firms"; by *The American Lawyer* in "What Drives the Rising Success Rate of Midsize Firms?"; and by Super Lawyers magazine in "Not BigLaw," an article on law firm innovation. Roger's practice focuses on high-stakes commercial litigation as well as outside General Counsel and advisor services to an array of business and C-suite executives. He is rated by *The American Lawyer*, *Corporate Counsel* magazine, and the *National Law Journal* as one of the Top Commercial Litigators in the US. He is a Fellow of the Litigation Counsel of America, the invitation-only trial lawyer honorary society limited to less than one-half of one percent of lawyers in America, and he has been selected to Super Lawyers every year since 2013. He holds an AV Preeminent rating, the highest rating in the legal profession for professional excellence and ethical standards, as determined by the peer review of judges and lawyers conducted by Martindale. Prior to Barton LLP, Roger was with Sidley Austin in New York. He is a graduate of the University of Michigan Honors College and received his JD from Fordham University School of Law. Roger is a member of the Board of Directors of BritishAmerican Business, Inc. as well as Chair of BAB Accelerate. He is also a member of the Board of Directors of BUILD NYC, a non-profit dedicated to providing over 400 inner city public high school students annually with experiential learning opportunities through a four-year entrepreneurship program.



Alan T. Gallanty
Partner

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For more than 35 years, Alan Gallanty has practiced as a business lawyer in New York and Connecticut, with extensive experience as a litigator, corporate and transactional practitioner, and outside general counsel to his clients. Alan has represented clients in a wide range of transactional matters, including the merger and acquisition of numerous business entities, private equity investments, business and real estate financings and commercial leasing and other real estate transactions. He has advised numerous clients in connection with business formations and matters involving corporate governance and ownership. As a litigator, Alan's wide range of experience runs the gamut of civil and business litigation, with particular focus on the areas of employment, business torts, banking and finance, securities, professional liability, real estate, and class actions. He has appeared in state and federal courts throughout the country, including in New York, Connecticut, Virginia, North Carolina, Tennessee, and California, and has represented his clients in both trial and appellate courts and in arbitration. Alan's litigation clients have included large institutional organizations such as the Federal Deposit Insurance Corporation, as well as numerous businesses involved in various industries including freight and logistics, restaurants and hospitality, real estate, finance, securities, and publishing. In addition, Alan has counseled numerous businesses in connection with their employment matters, including with respect to employee handbooks and policies, employment agreements, termination and severance agreements, preservation of trade secrets and enforcement of restrictive covenants, hiring and termination of employees, and resolving employment-related disputes. As a result of his broad experience, Alan frequently serves as outside general counsel for his business clients, using his diverse legal background to advise CEOs and entrepreneurs on their immediate and long-term plans and on the legal issues that confront their everyday operations. Along the way, Alan has focused on learning and understanding his clients' business needs and goals and, with his pragmatic, cost-effective and results-oriented approach, has become a valued advisor in the development of his clients' strategic planning and overall business growth. Alan has also been a frequent member of CLE faculties and has an "AV Preeminent" peer review rating in Martindale, the highest rating in the legal profession for professional excellence and ethical standards. Alan was selected to Super Lawyers, Thompson Reuters' annual survey of the top 5% of lawyers in the New York Metro Area, in 2020. Prior to joining Barton, Alan was a partner with the firm of Kantor Davidoff, Mandelker, Twomey, Gallanty & Kokhba, P.C. Alan received a B.A. from Binghamton University and earned his J.D. from Duke University Law School.



James E. Heavey
Partner

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James currently represents financial institutions, broker-dealers, executives and individual advisors in federal and state litigation, arbitration, regulatory proceedings and investigations. He has extensive experience pertaining to investigations, due diligence and compliance matters. He regularly counsels financial institutions and individual advisors on raiding, recruiting and transition matters, including compliance with restrictive covenants and the Protocol for Broker Recruiting.

James has represented board members, managing directors and executives of leading Fortune 500 firms in the highly regulated financial services, investment advisory and healthcare industries concerning change of employment, compensation, severance negotiations, investigations and other employment-related issues. James represents corporations and individuals charged with federal and state crimes and shareholder allegations of wrongdoing, focusing on securities and financial related matters, including securities and wire/mail fraud, conversion of client assets, breach of fiduciary duty, insider trading, and money laundering, among others. James draws on his investigative experience to assist in pre-litigation strategy, investigations and strategic defenses concerning corporate, employee conduct, and other sensitive corporate matters that could materially affect a client's business. In the white-collar practice area, James has represented clients or participated in the following:

- Successful defense of one the largest securities and wire fraud indictments of the President and CEO of private financial services firm brought by the Westchester District Attorney's Office, New York
- Successful appeal of a federal conviction of a New York City Police Officer for civil rights violations in the Eastern District of New York
- Successful defense of an individual financial services representative in a multi-defendant indictment for insider trading and tax evasion in the Southern District of New York
- Defense of RICO and money laundering offenses against an international customs broker in the Southern District of New York
- Defense of money laundering and financial disclosure violations of financial service professionals in the Eastern District of New York

Prior to attending law school, James served as a Special Agent for the United States and was responsible for conducting international money laundering and narcotics investigations. His duties included criminal, enforcement and regulatory investigations, as well as assisting various U.S. Attorney Offices in trial preparation. After September 11, 2001, he transferred to the newly created Department of Homeland Security in a counter-terrorism capacity. As published annually, James was selected to New Jersey Super Lawyers Rising Stars list from 2012 to 2015, and selected to New York Metro Super Lawyers Rising Stars list, 2016 to 2018. Immediately prior to joining Barton LLP, James was with Stevens & Lee. James received his J.D. from Fordham University School of Law, *Magna Cum Laude*, and his B.A. from Duke University.



Christopher J. McNamara
Partner

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Chris McNamara is an experienced attorney with a practice focusing primarily on trials, arbitrations, and pre-suit resolution of business disputes. Chris has litigated in federal and state courts across the country and has represented clients in domestic and international arbitrations as well as mediation. A strategic advisor and counselor to various companies and individuals, Chris offers a steady, thoughtful, and commercially practical perspective when counseling clients on corporate policies, disputes, risk management, transactions, and other sundry, sensitive matters. Chris has represented a diverse set of clients, including public companies, investment advisers, global healthcare companies, real estate investment and management firms, boards, nationwide logistics companies, technology companies, startups, and individuals in a broad array of matters, including securities litigation, employment disputes, shareholder disputes, partnership disputes, class actions, breach of contract, fraud, and intellectual property. Chris has been selected as a "Rising Star" by Super Lawyers each year since 2018. He is also a prior recipient of The Legal Aid Society's "Outstanding Pro Bono Service Award", and chairs Barton's pro bono program. Chris is currently Co-Chair of the New York State Bar Association's Committee on Leadership Development. This Committee is tasked with "identifying, encouraging, and mentoring prospective leaders of the Association, including but not limited to activities and initiatives focused on leadership development of new lawyers" as well as "providing information, resources and guidance on the leadership opportunities available within the State Bar." Chris is also an active member of the NYSBA Strategic Planning Committee and the NYSBA Membership Committee. Chris also previously served on the NYSBA Presidential Task Force on Mass Shootings & Assault Weapons. Chris earned his J.D. from Fordham Law School, where he served as an associate editor of the Fordham Law Review and a B.A. from Fairfield University. Prior to joining Barton, Chris practiced at Quinn Emanuel Urquhart & Sullivan, LLP and Willkie Farr & Gallagher LLP.



Bernard (Bernie) Resser
Partner

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Bernard M. (Bernie) Resser is a nationally recognized, first-chair litigator. As a former federal prosecutor with over 40 years of significant litigation experience, he delivers winning results for a diverse and sophisticated business clientele. His revolutionary use of state-of-the-art technology serves to maintain his on-going success. Bernie's client-centric approach expeditiously achieves successful dispute resolution through strategic motions and mediation and, when necessary, trials and appeals. His litigation practice encompasses disputes involving business, intellectual property, and real estate matters across a broad range of industries. Additionally, Bernie routinely counsels clients in various industries to avoid litigation and manage their legal spend. Bernie also brings valuable experience as a former United States Department of Justice attorney to the firm's internal investigations, regulatory enforcement, and white-collar practices. Bernie's successful use of cutting-edge technology presentation methods and his consistent favorable results has led to being featured in such publications as, the National Law Journal, Law.com, The New York Times, Los Angeles Times and the Los Angeles Daily Journal. He has been recognized in Best Lawyers in America for Commercial Litigation, in Southern California Super Lawyer for Business Litigation for over a decade and has an "AV Preeminent" peer review rating in Martindale, the highest rating in the legal profession for professional excellence and ethical standards. Prior to joining Barton, Bernie was Partner at Greenberg Glusker Fields Claman & Machtinger LLP in Los Angeles. Bernie earned his J. D. from University of California, Los Angeles School of Law and a B.A. from University of California, Los Angeles.

**Maurice N. Ross****Partner**mross@bartonesq.com | 212.885.8845

For nearly three decades, Maurice has represented corporate and individual clients in numerous high profile, sophisticated intellectual property matters relating to business transactions and commercial litigation. He works with clients to develop intellectual property strategies, including strategies for the procurement, licensing and enforcement of copyrights, trademarks, and patents. Maurice also advises clients on a wide range of issues relating to internet law and social media, including issues concerning rights of privacy, rights of publicity and defamation. Maurice is also an experienced and well-known trial lawyer. He has served as lead trial and appellate counsel in high-stakes patent and intellectual property litigation involving companies in a wide array of industries, from pharmaceutical and biotechnology to media and entertainment. Maurice routinely handles trademark and copyright matters for clients in the fashion, music, media, entertainment, computer and software industries. Although he focuses his practice in the area of intellectual property, Maurice has also served as trial counsel in complex securities, RICO, lender liability, antitrust cases, and he has extensive experience representing corporate executives and other individuals in white collar criminal defense matters, often relating to intellectual property. Maurice also has frequently been called upon to advise clients regarding the risks and benefits of proposed mergers, acquisitions and other transactions, particularly as such transactions involve transfers and licensing of intellectual property rights. Maurice is also recognized as an expert on disputes relating to the attorney-client privilege and work product immunity, and he has been counsel of record in landmark decisions in this area. More recently, Maurice has advised domestic and international clients concerning how to successfully and efficiently address the challenges and burdens imposed by electronic discovery and social media, including the use of social media postings as evidence in complex litigation. Maurice has published frequently in the areas of intellectual property, patent law, media and internet law, and the attorney-client privilege. Maurice has long been a proponent for using alternative dispute resolution mechanisms for efficient resolution of complex business disputes, at both the trial and appellate levels. Further, given the economic realities and costs of conducting complex intellectual property and commercial litigation, Maurice encourages his clients from the earliest stages of litigation to attempt to aggressively pursue settlement. By the same token, Maurice has long advocated aggressive use of the pre-trial discovery process to improve his clients' likelihood of success at trial, and in recent years he has focused extensively on how to use emerging technologies to make the pre-trial discovery process more efficient and cost-effective. Maurice has appeared in the United States District Courts for the Southern and Eastern Districts of New York, the District of New Jersey, the District of Colorado and the Northern District of California, and he has argued appeals in the United States Courts of Appeals for the Federal, Second and Fifth Circuits, as well as State Courts in New York. Prior to joining Barton LLP, Maurice was a shareholder with Budd Larner and practiced at Clifford Chance and Sullivan and Cromwell. Maurice received his J. D. from New York University Law School and his B.S. from Brown University *magna cum laude*.



Michael C. Ward

Partner

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Michael has a broad practice with a particular focus on complex financial and commercial litigation matters, in federal and state courts, arbitrations, and out-of-court negotiations. He handles all phases of litigation, from strategic analysis of claims and defenses through trial preparation or settlement, including motion practice, fact and expert discovery, depositions and appeals. Michael has also assisted in the representation of a number of sophisticated financial services firms, broker-dealers, registered representatives and investment advisory firms on a variety of issues, including employee recruiting and raiding, unfair competition, protection of trade secrets and other confidential information, the enforcement of non-solicitation agreements and breach of contract claims. Michael's practice also includes representing plaintiffs and defendants of varying size and sophistication in securities matters. He has represented institutional investors asserting securities fraud claims under federal and state law in connection with banks' conduct as underwriter, seller and/or issuer of certain residential mortgage-backed securities. Conversely, he has represented class action defendants against allegations of false or misleading statements made in connection with securities offerings. Prior to joining Barton LLP, Michael was a litigation associate with Wollmuth Maher & Deutsch LLP, where he successfully represented a range of clients from Fortune 100 financial institutions to closely-held companies and individuals in corporate and commercial matters, as well as reinsurance and insurance disputes. As published by Thomson Reuters, Michael has been recognized as a New York Super Lawyer Rising Star from 2017 to present in the area of business litigation. Michael earned his J.D. from St. John's University School of Law and a B.A. and M.A. Studies from Duke University.